

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:  
Helland et al.

Art Unit 2756

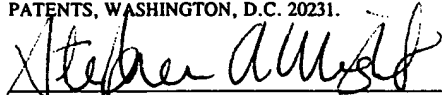
Application No.: 09/425102

Filed: October 22, 1999

For: SOFTWARE COMPONENT  
EXECUTION MANAGEMENT USING  
CONTEXT OBJECTS FOR TRACKING  
EXTERNALLY-DEFINED INTRINSIC  
PROPERTIES OF EXECUTING  
SOFTWARE COMPONENTS WITHIN  
AN EXECUTION ENVIRONMENT

CERTIFICATE OF MAILING

I hereby certify that this paper and the documents referred to as being attached or enclosed herewith are being deposited with the United States Postal Service on March 29, 2000 as First Class Mail in an envelope addressed to: ASSISTANT DIRECTOR FOR PATENTS, WASHINGTON, D.C. 20231.

  
Attorney for Applicant

Examiner: Not yet assigned

Date: March 29, 2000

INFORMATION DISCLOSURE STATEMENT

TO THE ASSISTANT DIRECTOR FOR PATENTS  
Washington, DC 20231

Sir:

Applicants submit herewith information of which they are aware, and which they believe may be material to the examination of the application and in respect of which there may be a duty to disclose in accordance with 37 C.F.R. §1.56. The information is listed on the attached Form PTO-1449.

The present application relies upon U.S. Patent Application No. 08/958,974, which was filed October 28, 1997, for an earlier filing date under 35 U.S.C. § 120. Furthermore, some of the documents listed on the accompanying PTO-1449 Form were disclosed to or cited by the Patent Office in the earlier U.S. application. As a result, copies of some of the documents cited on the accompanying form PTO-1449 Form need not be sent to the Patent Office pursuant to 37 C.F.R. § 1.98(d). However, applicants will furnish the Patent Office with such copies upon request.

EXHIBIT A  
Page 1 of 7

Applicants call the Examiner's attention to the following co-pending U.S. patent applications, which are commonly assigned as the above-referenced patent application:

Application No. 08/825,647

For: CONCURRENCY CONTROL OF STATE MACHINES IN A  
COMPUTER SYSTEM USING CLIQUES

Applicants: Helland et al.

Application No. 08/959,139

For: JUST-IN-TIME ACTIVATION AS-SOON-AS-POSSIBLE  
DEACTIVATION OF SERVER APPLICATION COMPONENTS

Applicants: Helland et al.

Application No. 08/959,149

For: SERVER APPLICATION COMPONENTS WITH CONTROL OVER  
STATE DURATION

Applicants: Helland et al.

Application No. 08/958,975

For: MULTI-USER SERVER APPLICATION ARCHITECTURE WITH  
SINGLE-USER OBJECT TIER

Applicants: Helland et al.

Application No. 09/114,230

For: COMPENSATING RESOURCE MANAGERS IN OLE

Applicants: Helland et al.

Application No. 09/225,896

For: TRANSACTION PROCESSING OF DISTRIBUTED OBJECTS WITH  
DECLARATIVE TRANSACTIONAL ATTRIBUTES

Applicants: Helland et al.

Application No. 09/351,374

For: DISABLING AND ENABLING TRANSACTION COMMITAL IN  
TRANSACTIONAL APPLICATION COMPONENTS

Applicants: Helland et al.

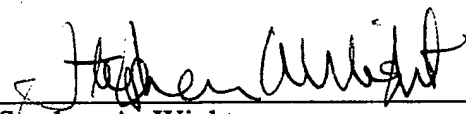
PATENT

In view of the secrecy provisions of 37 C.F.R. §1.14, Applicants have not provided a copy of the above-referenced co-pending U.S. patent applications because submitting a copy of these patent applications could be viewed as a waiver of the confidentiality that the Applicants are guaranteed under 35 U.S.C. § 122 and 37 C.F.R. § 1.14. Applicants have not listed these co-pending applications on the accompanying 1449 form and request that they not be listed on the face of the patent, in the event that it issues, to preserve their secrecy.

If a fee is required under 37 C.F.R. §1.17(p), the Commissioner is hereby authorized to charge Deposit Account No. 02-4550.

Respectfully submitted,

KLARQUIST SPARKMAN CAMPBELL  
LEIGH & WHINSTON, LLP

By   
Stephen A. Wight  
Registration No. 37759

One World Trade Center, Suite 1600  
121 S.W. Salmon Street  
Portland, Oregon 97204  
Telephone: (503) 226-7391  
Facsimile (503) 228-9446  
cc: Patent Group Docketing Dept. (75805.2)  
KS Paralegal

<b>INFORMATION DISCLOSURE STATEMENT</b>  <b>BY APPLICANT</b>				Docket: 3382-48511		App: 09/425,102	
				Applicant: Helland et al.			
				Filed: October 22, 1999		Art Unit: 2756	
<b>U.S. PATENT DOCUMENTS</b>							
Init. *		Number	Date	Name	Class	Sub	Filed
		5,884,316	3/16/99	Bernstein et al.			
		4,752,928	6/21/88	Chapman et al.			
		5,706,429	1/6/98	Lai et al.			
		5,822,585	10/13/98	Noble et al.			
		5,884,327	3/16/99	Cotner et al.			
		5,875,291	2/23/99	Fox			
		5,781,910	7/14/98	Gostanian et al.			
		5,561,797	10/1/96	Gilles et al.			
		5,577,252	11/19/96	Nelson et al.			
		5,941,947	8/1999	Brown et al.			
		5,815,665	9/1998	Teper et al.			
		5,864,683	1/1999	Boebert et al.			
		5,881,225	3/1999	Worth			
		5,717,439	2/1998	Levine et al.			
		5,455,953	10/1995	Russell			
		5,778,365	7/1998	Nishiyama			
		5,524,238	6/1996	Miller et al.			
EXAMINER:				DATE			

\*Examiner: Initial if considered, whether or not in conformance with draw line through cite if not in conformance and not considered. :

<b>INFORMATION DISCLOSURE STATEMENT</b>  <b>BY APPLICANT</b>				Docket: 3382-48511		App: 09/425,102	
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<b>U.S. PATENT DOCUMENTS</b>							
Init. *		Number	Date	Name	Class	Sub	Filed
		5,838,916	11/17/98	Domenikos et al.			
		5,832,274	11/3/98	Cutler et al.			
		5,689,708	11/18/97	Regnier et al.			
		5,822,435	10/13/98	Boebert et al.			
		5,481,715	1/2/96	Hamilton et al.			
EXAMINER:				DATE			

\*Examiner: Initial if considered, whether or not in conformance with MPEP 2001.02  
draw line through cite if not in conformance and not considered. See

<b>INFORMATION DISCLOSURE STATEMENT</b>  <b>BY APPLICANT</b>			Docket: 3382-48511	App: 09/425,102
			Applicant: Helland et al.	
			Filed: October 22, 1999	Art Unit: 2756
<b>OTHER DOCUMENTS</b>				
			Barkley, "Role Based Access Control (RBAC)," Software Diagnostics and Conformance Testing National Institute of Standards and Technology (March 1998)	
			Gavrilu and Barkley, "Formal Specification for Role Based Access Control User/Role and Role/Role Relationship Management," (October 1998)	
			Barkley, "Application Engineering in Health Care," pages 1-7 (May 9, 1995)	
			Cugini and Ferraiolo, "Role Based Access Control Slide Set - May 1995," National Institute of Standards and Technology (1995)	
			Smith, Sr. et al., "A Marketing Survey of Civil Federal Government Organizations to Determine the Need for a Role-Based Access Control (RBAC) Security Product," Seta Corporation (July 1996)	
			Ferraiolo and Barkley, "Specifying and Managing Role-Based Access Control within a Corporate Intranet," (1997)	
			Ferraiolo et al., "Role-Based Access Control (RBAC): Features and Motivations," (1995)	
			Kuhn, "Mutual Exclusion of Roles as a Means of Implementing Separation of Duty in Role-Based Access Control Systems," (1997)	
			Barkley, "Comparing Simple Role Based Access Control Models and Access Control Lists," (1997)	
EXAMINER:			DATE	
*Examiner: Initial if considered, whether or not in conformance with draw line through cite if not in conformance and not considered. §				

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			Applicant: Helland et al.	
			Filed: October 22, 1999	Art Unit: 2756
<b>OTHER DOCUMENTS</b>				
			Barkley et al., "Role Based Access Control for the World Wide Web," (1997)	
			Ferraiolo and Kuhn, "Role-Based Access Control," Reprinted from Proceedings of 15 <sup>th</sup> National Computer Security Conference (1992)	
			Barkley, "Implementing Role Based Access Control using Object Technology," (1995)	
			Tucker (editor, "The Computer Science and Engineering Handbook," chapter 49, pages 1112-1124 and chapter 91, pages 1929-1948 (1996)	
			Orfali, Harkey, Edwards, "Client/Server Transaction Processing," <i>Client/Server Survival Guide</i> , pages 241-288 (1994)	
			Franklin, "Concurrency Control and Recovery," <i>The Computer Science and Engineering Handbook</i> , pages 1058-1077 (1997)	
EXAMINER:			DATE	
*Examiner: Initial if considered, whether or not in conformance with MPEP 60; draw line through cite if not in conformance and not considered.				